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PATENT

IN THE UNITED STATES PATENT & TRADEMARK OFFICE

Application No.: 10/594,475  
PCT Appl. No.: PCT/JP2005/005769  
Applicant: Yoshiharu OHTA et al.  
Filing Date: September 28, 2006  
Group Art Unit: Unknown  
Title: SEMICONDUCTOR POLISHING COMPOSITION  
Docket No.: 2691-000058/US

**REQUEST FOR RECORDATION OF  
INTERNATIONAL PRELIMINARY EXAMINATION REPORT**

**MAIL STOP PCT**

February 20, 2007

Customer Service Window  
Randolph Building  
401 Dulany Street  
Alexandria, VA 22314

Sir:

Applicant attaches hereto an International Preliminary Examination Report which has been issued in connection with the above-identified application. Please make this document part of the prosecution history of the present application.

Respectfully submitted,

HARNESS, DICKEY & PIERCE, P.L.C.

By: Donald J. Daley  
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Attachment: International Preliminary Examination Report

From the INTERNATIONAL BUREAU

**PCT**

NOTIFICATION OF TRANSMITTAL  
OF COPIES OF TRANSLATION  
OF THE INTERNATIONAL PRELIMINARY REPORT  
ON PATENTABILITY  
(CHAPTER I OR CHAPTER II  
OF THE PATENT COOPERATION TREATY)  
(PCT Rules 44bis.3(c) and 72.2)

To:

SAIKYO, Keiichiro  
Shikishima Building  
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Chuo-ku, Osaka-shi  
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JAPON



Date of mailing (day/month/year) 18 January 2007 (18.01.2007)	
Applicant's or agent's file reference 62199CT	<b>IMPORTANT NOTIFICATION</b>
International application No. PCT/JP2005/005769	International filing date (day/month/year) 28 March 2005 (28.03.2005)
Applicant NITTA HAAS INCORPORATED et al	

## 1. Transmittal of the translation to the applicant.

☐

The International Bureau transmits herewith a copy of the English translation of the international preliminary report on patentability (Chapter I).

☒

The International Bureau transmits herewith a copy of the English translation of the international preliminary report on patentability (Chapter II).

## 2. Transmittal of the copy of the translation to the designated or elected Offices.

The International Bureau notifies the applicant that copies of that translation have been transmitted to the following designated or elected Offices requiring such translation:

EP, KR

The following designated or elected Offices, having waived the requirement for such a transmittal at this time, will receive copies of that translation from the International Bureau only upon their request:

AE, AG, AL, AM, AP, AT, AU, AZ, BA, BB, BG, BR, BW, BY, BZ, CA, CH, CN, CO, CR, CU, CZ, DE, DK, DM, DZ, EA, EC, EE, EG, ES, FI, GB, GD, GE, GH, GM, HR, HU, ID, IL, IN, IS, KE, KG, KP, KZ, LC, LK, LR, LS, LT, LU, LV, MA, MD, MG, MK, MN, MW, MX, MZ, NA, NI, NO, NZ, OA, OM, PG, PH, PL, PT, RO, RU, SC, SD, SE, SG, SK, SL, SM, SY, TJ, TM, TN, TR, TT, TZ, UA, UG, US, UZ, VC, VN, YU, ZA, ZM, ZW

## 3. Reminder regarding translation into (one of) the official language(s) of the elected Office(s).

The applicant is reminded that, where a translation of the international application must be furnished to an elected Office, that translation must contain a translation of any annexes to the international preliminary report on patentability (Chapter II).

It is the applicant's responsibility to prepare and furnish such translation directly to each elected Office concerned within the applicable time limit (Rule 74.1). See Volume II of the PCT Applicant's Guide for further details.

The International Bureau of WIPO  
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**TRANSLATION**

**PATENT COOPERATION TREATY**

**PCT**

**INTERNATIONAL PRELIMINARY REPORT ON PATENTABILITY**  
(Chapter II of the Patent Cooperation Treaty)

(PCT Article 36 and Rule 70)

Applicant's or agent's file reference <b>62199CT</b>	<b>FOR FURTHER ACTION</b> See Form PCT/IPEA/416	
International application No. <b>PCT/JP2005/005769</b>	International filing date (day/month/year) <b>28.03.2005</b>	Priority date (day/month/year) <b>29.03.2004</b>
International Patent Classification (IPC) or national classification and IPC <b>H01L21/304</b>		
Applicant <b>NITTA HAAS INCORPORATED</b>		

1.	This report is the international preliminary examination report, established by this International Preliminary Examining Authority under Article 35 and transmitted to the applicant according to Article 36.	
2.	This REPORT consists of a total of <u>4</u> sheets, including this cover sheet.	
3.	This report is also accompanied by ANNEXES, comprising: a. <input checked="" type="checkbox"/> (sent to the applicant and to the International Bureau) a total of <u>5</u> sheets, as follows: <input checked="" type="checkbox"/> sheets of the description, claims and/or drawings which have been amended and are the basis for this report and/or sheets containing rectifications authorized by this Authority (see Rule 70.16 and Section 607 of the Administrative Instructions). <input type="checkbox"/> sheets which supersede earlier sheets, but which this Authority considers contain an amendment that goes beyond the disclosure in the international application as filed, as indicated in item 4 of Box No. I and the Supplemental Box. b. <input type="checkbox"/> (sent to the International Bureau only) a total of (indicate type and number of electronic carrier(s)) _____ containing a sequence listing and/or tables related thereto, in computer readable form only, as indicated in the Supplemental Box Relating to Sequence Listing (see Section 802 of the Administrative Instructions).	
4.	This report contains indications relating to the following items: <input checked="" type="checkbox"/> Box No. I Basis of the report <input type="checkbox"/> Box No. II Priority <input type="checkbox"/> Box No. III Non-establishment of opinion with regard to novelty, inventive step and industrial applicability <input type="checkbox"/> Box No. IV Lack of unity of invention <input checked="" type="checkbox"/> Box No. V Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement <input type="checkbox"/> Box No. VI Certain documents cited <input type="checkbox"/> Box No. VII Certain defects in the international application <input type="checkbox"/> Box No. VIII Certain observations on the international application	

Date of submission of the demand	Date of completion of this report
Name and mailing address of the IPEA/JP	Authorized officer
Facsimile No.	Telephone No.

## INTERNATIONAL PRELIMINARY REPORT ON PATENTABILITY

International application No.

PCT/JP2005/005769

Box No. 1

Basis of the report

1. With regard to the language, this report is based on the international application in the language in which it was filed, unless otherwise indicated under this item.
- ☐ This report is based on translations from the original language into the following language \_\_\_\_\_ which is the language of a translation furnished for the purposes of:
- ☐ international search (Rule 12.3 and 23.1(b))
- ☐ publication of the international application (Rule 12.4)
- ☐ international preliminary examination (Rule 55.2 and/or 55.3)
2. With regard to the elements of the international application, this report is based on *(replacement sheets which have been furnished to the receiving Office in response to an invitation under Article 14 are referred to in this report as "originally filed" and are not annexed to this report)*:
- ☐ the international application as originally filed/furnished
- ☒ the description:
- pages 1-2, 5-12 \_\_\_\_\_ as originally filed/furnished
- pages\* 4, 13 \_\_\_\_\_ received by this Authority on 26.01.2006
- pages\* 3, 14 \_\_\_\_\_ received by this Authority on 09.06.2006
- ☒ the claims:
- nos. \_\_\_\_\_ as originally filed/furnished
- nos.\* \_\_\_\_\_ as amended (together with any statement) under Article 19
- nos.\* 2 \_\_\_\_\_ received by this Authority on 26.01.2006
- nos.\* 1, 6-7 \_\_\_\_\_ received by this Authority on 09.06.2006
- ☐ the drawings:
- sheets \_\_\_\_\_ as originally filed/furnished
- sheets\* \_\_\_\_\_ received by this Authority on \_\_\_\_\_
- sheets\* \_\_\_\_\_ received by this Authority on \_\_\_\_\_
- ☐ a sequence listing and/or any related table(s) – see Supplemental Box Relating to Sequence Listing.
3. ☒ The amendments have resulted in the cancellation of:
- ☐ the description, pages \_\_\_\_\_
- ☒ the claims, nos. 3-5 \_\_\_\_\_
- ☐ the drawings, sheets/figs \_\_\_\_\_
- ☐ the sequence listing (*specify*): \_\_\_\_\_
- ☐ any table(s) related to sequence listing (*specify*): \_\_\_\_\_
4. ☐ This report has been established as if (some of) the amendments annexed to this report and listed below had not been made, since they have been considered to go beyond the disclosure as filed, as indicated in the Supplemental Box (Rule 70.2(c)).
- ☐ the description, pages \_\_\_\_\_
- ☐ the claims, nos. \_\_\_\_\_
- ☐ the drawings, sheets/figs \_\_\_\_\_
- ☐ the sequence listing (*specify*): \_\_\_\_\_
- ☐ any table(s) related to sequence listing (*specify*): \_\_\_\_\_

\* If item 4 applies, some or all of those sheets may be marked "superseded."

## INTERNATIONAL PRELIMINARY REPORT ON PATENTABILITY

International application No.

PCT/JP2005/005769

**Box No. V** Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement

## 1. Statement

Novelty (N)	Claims	1-2, 6-7	YES
	Claims		NO
Inventive step (IS)	Claims		YES
	Claims	1-2, 6-7	NO
Industrial applicability (IA)	Claims	1-2, 6-7	YES
	Claims		NO

## 2. Citations and explanations (Rule 70.7)

Document 1: JP 2001-26771 A (Fujimi Inc.), 30 January 2001, claims; column 5, lines 29 to 50; column 10, lines 5 to 25; and table 1 & US 6248144 B1

The inventions set forth in claims 1 to 2 and 6 to 7 do not involve an inventive step in the light of document 1 cited in the international search report. Document 1 indicates that the mixture has a pH level of 2 to 4. Therein, document 1 does not specifically delimit the pH level of the alkali solution; however, given that the composition obtained by combining the alkali solution and the mixture has a pH level of 9 to 12, it would be possible to employ an alkali solution that has a pH level of 12 to 14, as appropriate. Furthermore, document 1 does not stipulate that the mixture be added to the alkali solution. When combining an alkali solution and a mixture, however, there are only two alternatives as to which substance is added to the other substance, and it was common practice to add an alkali solution to a mixture or to add a mixture to an alkali solution (for example, refer to JP 2003-268354 A (Rodel Nitta Co.), 25 September 2003, claims, etc.) prior to the filing of the

## INTERNATIONAL PRELIMINARY REPORT ON PATENTABILITY

International application No.

PCT/JP2005/005769

Box No. V

Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability;  
citations and explanations supporting such statement

present application. Such being the case, a person skilled in the art could select either one of these two well-known alternatives, as appropriate.

Meanwhile, the applicant indicates that the "pH shock from mixing two solutions that have an large pH differential is significant." However, two solutions that have a large pH differential are mixed together in the invention disclosed in document 1, and thus the feature in question cannot be said to be significant.